

eZ-Audit
Use-Case Specification 10: Code Findings

Version 3.0

eZ-Audit	Version: 2.1
Use-Case Specification 10: Code Findings	Date: 05/15/03
Use Case 10	

Revision History

Date	Version	Description	Author
07/17/02	1.0	Final Version created for 7/17 Deliverable Submission	Bobbi Beach
08/07/02	1.1	Revised version created for deliverable re-submission	Bobbi Beach
09/05/02	1.2	Revised version created to incorporate feedback received from stakeholder session	Bobbi Beach
04/30/03	2.0	Revisions throughout to reflect Release 1.0 functionality	Amy Rothman
5/15/03	2.1	Revised to incorporate requirements for Release 1.01	Melanie Greiner
1/15/04	3.0	Revised to incorporate requirements for Release 2.0. Specifically, added the "Code Findings" left nav bar link to the Basic Flow	Ben Lopez

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Use-Case Specification 10: Code Findings

1. Code Findings

1.1 Brief Description

The Screener Actor will review Compliance Audits that contain findings and for each finding enter the following data: a four digit deficiency code, questioned costs, number of errors, sample size, school group information (if applicable), and sample expansion information. The system will then calculate a deficiency indicator for the Compliance Audit.

2. Flow of Events

2.1 Basic Flow

1. Screener Actor selects institution from their home page.

The Screener Actor will select an Institution from their home page.

2. The system displays the Code Findings page which contains the following elements:

- Name of the institution and the OPEID
- Left nav with links to Financial Statements, Compliance Audit, Completeness Checklist, View Attachments, Financial Statements QC, Compliance Audit QC, Code Findings, Correspondence Log, and Notes.
- Read-only "Institution Info" section which displays the ACN, Audit Period, and Received Date
- Link to the institution's attachments that can be opened and viewed
- Fields to capture finding information:
 - Finding code (drop-down list)
 - Type
 - Description (text box)
 - Number of errors
 - Sample size
 - Original questioned costs
 - Error %
 - Institution in Group (drop-down list of school groups)?
 - Deficiency Status

3. The Screener Actor selects the "Add Finding" button

4. The system re-presents the page with a table displaying finding that was entered.

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The table presents the details of the finding. There is a modify and a delete option. The system also displays a value for deficiency status based on the finding entered. (See Section 5.1 for details regarding deficiency determination)

5. Screener actor codes additional findings.

If there are additional findings, the Screener Actor repeats Use Case steps 2 & 3 until all findings have been coded.

6. The system calculates the Deficiency and displays the results in the Deficiency Status field.

The system will display the results as “Deficient” or “Non-Deficient.” If changes need to be made, the Screen Actor repeats Use Case steps 2-5.

7. The Screen Actor selects “Submit”.

8. The system returns user to queue

Record is no longer displayed.

2.2 Alternative Flows

2.2.1 Cancel Prior to Calculation of Deficiency Indicator

The Screener Actor has the ability to cancel their work prior to submitting by selecting the “Cancel” function. If “Cancel” is selected, the system will not save any finding codes entered unless “Save” was previously selected.

2.2.2 Modify Findings

The Screener Actor has the ability to modify finding codes that have been entered. Each line (finding) in the findings table will have a “Modify” function which allows the Screener Actor to modify that finding. When the Screener Actor selects the “Modify” function for a specific finding, the system will populate the data entry area of the code findings page with data for that finding. The Screener Actor will have write access to all fields that were previously entered in Basic Flow step 3. Once changes have been made, the Screener Actor will select the “Update Finding” function. The system will then update the findings table with the new data.

2.2.3 Delete Findings

The Screener Actor has the ability to delete finding codes that have been entered. Each line (finding) in the findings table will have a “Delete” function which allows the Screener Actor to delete that finding. When the Screener Actor selects the “Delete” function the Code Findings Page refreshed and the deleted finding is no longer listed in the table,

2.2.4 Case Team Update Findings

Case Team members (ARS) assigned Compliance Audits for resolution have the ability to add/update/delete finding codes. The ARS will access the Code Findings Page by selecting the “Adjust Finding Codes” link from the left nav once they have accessed an institution record. Once the ARS has access the Code Findings Page, they will have the ability to perform all actions described in the Basic Flow and Alternate Flows 2.2.1 through 2.2.4. After all changes have been made, the ARS will press the “Submit” button to update the system.

3. Special Requirements

3.1 Qualified, Disclaimer, or Adverse audit opinions

If an audit is of the opinion type qualified, disclaimer, or adverse, the system will pre-populate the findings table with the deficiency code and description fields. (no other fields are required)

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4. Preconditions

4.1 ED Screener user must be logged into eZ-Audit system.

4.2 ED Screener user must have compliance audits with findings in their queue.

5. Postconditions

5.1 Calculate Deficiency Indicator

The system calculates the deficiency indicator for the audit based on the coding of the findings. Deficiency indicators are as follows:

- 1 – Deficient (if any of the following conditions is present)
 - o Questioned costs >\$10,000 total for significant findings,
 - o Error rate >= 10% associated with any one significant finding,
 - o Presence of automatic deficiency codes,
 - o Closeout audit, or
 - o Opinion type other than unqualified
- 2 – Non-Deficient
 - o All audits with findings that do not meet the criteria for deficiency indicator 1

5.2 Issue Date

The system records the audit issue date as the date that the initial deficiency determination is made and is forwarded to the case team.

5.3 Route Coded Compliance Audits

The system will route the audit to the appropriate Co-Team Leader if any of the following conditions are present when the initial deficiency determination is made:

- Deficiency indicator of 1 (determined in Postcondition 1 above)
- Flagged for Pell Adjustment present (determined in Postcondition 5.3 of Create Submission Use Case)
- Flagged for Prior year submission missing (past performance) (determined in Postcondition 5.3 of Create Submission Use Case)
- Flagged for the Presence of a refund finding with an error rate greater than 5% and more than 1 error
- Flagged for Being a Resubmission (determined in Postcondition 5.3 of Create Submission Use Case)

All other audit submissions are routed to the archive.

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6. Extension Points

6.1 Use Case 9 “Create Submission”

7. Requirements

7.1 Release 1.0

- GEN166 The System will provide appropriate ED Users the ability to apply deficiency codes to the findings for submitted audits.
- GEN167 The system will allow for each finding code to be assigned to the appropriate institution within the school group.
- GEN168 The system will provide appropriate ED Users the ability to assign questioned costs per finding.
- GEN169 The system will allow for each questioned costs to be assigned to the appropriate institution within the school group.
- GEN170 The System will determine deficiency indicator based on the finding codes.
- GEN171 The System will calculate the error rate (based on # of noncompliant items/sample size)
- GEN172 The system will designate an audit as deficient when there is a deficiency indicator of 1 based on coding of the findings.
- GEN173 The system will designate an audit as deficient when the audit is a closeout audit.
- GEN174 The system will designate an audit as deficient when there is an opinion other than unqualified.
- GEN175 The system will flag audits if the following condition is present: Pell Adjustment.
- GEN176 The system will flag audits if the following condition is present: Prior year submissions missing (past performance).
- GEN177 The system will flag audits if the following condition is present: Presence of a refund finding with an error rate greater than 5% and more that 1 error.
- GEN178 The system will flag audits if the following condition is present: Resubmissions.
- GEN528 The system will provide a checkbox for the user to indicate if the expansion of the sample was necessary for each audit finding with read/write privileges based on user type.
- GEN1157 The system will determine the appropriate Case Team region for financial statements and compliance audits submissions based on the institution.

7.2 Release 1.01

The system will automatically calculate the deficiency indicator on the Code Findings page.

The system will display the results of the Deficiency Calculation in the “Deficiency Status” field on the Code Findings page.

The system will provide a Screener user a submit option on the Code Findings page.

7.3 Release 2.0

CODE	R20190	The system will provide a Screener User a left nav option to access the”Code Findings” page when viewing a submission
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